C1100. CHAPTER 1100

CIVILIAN PERSONNEL INFORMATION SYSTEMS

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References: (a) DoD Directive 1400.25, "DoD Civilian Personnel Management System," November 25, 1996
(b) Section 1401 of title 10, United States Code
(c) Sections 2223 and 2224 of title 10, United States Code
(d) Government Accountability Office Publication GAO/AIMD-10.1.13, "Assessing Risks and Returns: A Guide for Evaluating Federal Agencies' IT Investment Decision-making," February 1997[1]
(e) DoD Instruction 5000.2, "Operation of the Defense Acquisition System," May 12, 2003
(f) DoD Instruction 5200.40, "DoD Information Technology Security Certification and Accreditation Process (DITSCAP)," December 30, 1997
(g) DoD Directive 8500.1, "Information Assurance (IA)," October 24, 2002
(h) DoD 5200.1-R, "Information Security Program," January 1997
(i) DoD 8910-M, "DoD Procedures for Management of Information Requirements," June 30, 1998

C1100.1. PURPOSE

This Chapter implements DoD policy under reference (a) and ensures compliance with references (b) through (d). This Chapter also implements policy and procedures for the enterprise-wide Defense Civilian Personnel Data System (DCPDS), the automated human resources (HR) information and transaction processing system for DoD civilian employees.

C1100.2. APPLICABILITY

This chapter applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies (except the National Geospatial-Intelligence Agency, the National Security Agency, and the Defense Intelligence Agency, the DoD Field Activities, and all other organizational entities in the Department of Defense (hereafter referred to collectively as the "DoD Components").

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[1] Government Accountability Office (GAO) Official Web Site, updated 2/29/98: http://www.gao.gov/policy/itguide/homepage.htm

C1100.3. DEFINITIONS

C1100.3.1. Defense Civilian Personnel Data System (DCPDS). The DoD enterprise-wide automated HR information and transaction processing system for DoD civilian employees. This system has applications for classification, staffing, training, employee benefits, Equal Employment Opportunity (EEO) complaints action tracking, and data retrieval. Each DoD HR Regional Service Center uses DCPDS to process its civilian HR actions. Data from DCPDS flows to Customer Support Unit (CSU) databases and the Corporate Management Information System (CMIS).

C1100.3.2. DCPDS AutoRIF. AutoRIF is an automated RIF processing application, which uses data from DCPDS to assist and simplify processing a Reduction-In-Force (RIF). The AutoRIF functionality uses employee data extracted from DCPDS to process reduction in force (RIF) actions processed under Title 5. It complies with RIF regulations and provides the capability to track employees, RIF actions, and qualification decisions. AutoRIF produces retention registers, tenure listings, and RIF notices.

C1100.3.3. DCPDS Change Control Board (CCB). A Board that was established to support DCPDS Acquisition Program Management according to DoD Instruction 5000.2 (reference (e)). They review, prioritize, and approve DCPDS System Change Requests (SCRs). It is comprised of representatives from the Civilian Personnel Management Service (CPMS), the DoD Components, non-DoD customer agencies, and the Defense Finance and Accounting Service (DFAS) Civilian Pay Policy. The Washington Headquarters Services (WHS) represents the Defense Agencies.

C1100.3.4. DCPDS Change Request Transmittal (CRT). A code addition or change resulting from a Federal regulation, DoD policy, or other directing authority. CRTs are used for updates to existing List of Value elements and Pay tables. A CRT may also be used to correct or supplement a previously approved SCR or CRT.

C1100.3.5. DCPDS Complaints Action Tracking System (CATS). A DCPDS module that documents and tracks EEO complaint activity.

C1100.3.6. DCPDS Computer Security Working Group (CSWG). The CSWG is a working group supporting DCPDS that focuses on reviewing and commenting on information assurance related documents, specifications, concepts of operation, security test and evaluation (ST&E) plans and results, operating procedures, security patches, and other program documents. The CSWG is comprised of representatives from CPMS, the DCPDS sustainment contractor, and the DoD Components. The CSWG supports DCPDS security policies and procedures in the System Security Authorization Agreement according to DoD Instruction 5200.40 (reference (f)).

C1100.3.7. DCPDS COREDOC. This application automates the position classification process. It produces a core document consisting of the position description; performance management plan; and the position knowledge, skills, and abilities used for recruitment.

C1100.3.8. <u>DCPDS Corporate Management Information System</u> (CMIS). A system that has data on all DoD civilian employees supported by DCPDS. Users may use a third party tool to produce ad hoc queries and reports from CMIS.

C1100.3.9. <u>DCPDS Customer Support Unit</u> (CSU). A distributed database and application used for data retrieval, as well as standard and ad hoc reports, to support civilian employee program management.

C1100.3.10. <u>DCPDS Engineering Review Board</u> (ERB). A review board that was established to support DCPDS Acquisition Program Management according to reference (e). They review, approve, and recommend priorities for DCPDS technical configuration changes (e.g., hardware, communications, operating systems). It is comprised of technical representatives from the CPMS, the DoD Components, non-DoD customer agencies, and the DFAS Civilian Pay Policy.   WHS represent the Defense Agencies.

C1100.3.11. <u>DCPDS Executive Committee</u>. A committee that was established to support DCPDS Acquisition Program Management according to reference (e)). It is comprised of executive level functional representatives from the CPMS, the DoD Components, and the DFAS Civilian Pay Policy. WHS represents the Defense Agencies.

C1100.3.12. <u>DCPDS Oracle Human Resources</u> (HR). The DCPDS computer software that provides the core functionality of the system.   This Oracle HR software processes personnel actions, establishes and maintains the civilian HR database, reports civilian HR data, and provides management inquiry capability.

C1100.3.13. <u>DCPDS Component Project Managers</u>. Project Managers (PM) support DCPDS Acquisition Program Management according to reference (e)). Each DoD Component and non-DoD customer agency has a PM who provides its unique functional and technical support to the DCPDS Acquisition Program Manager. The PM meetings are comprised of representatives from CPMS, the DoD Components, non-DoD customer agencies, and the DFAS Civilian Pay Policy. WHS represents the Defense Agencies, and the Broadcasting Board of Governors represents the non-DoD customer agencies.

C1100.3.14. <u>DCPDS Problem Report</u> (PR). The official documentation of a problem that exists in the system, for which a repair is required. PRs are generated when the system is malfunctioning or not operating properly. PRs are rated by severity level as follows:

C1100.3.14.1. <u>Severity Level 1</u>. System problems that prevent the accomplishment of an operational or mission essential capability (i.e., a complete and major functionality failure). This level also applies to complete system unavailability during normal business hours.

C1100.3.14.2. <u>Severity Level 2</u>. System problems that adversely influence the accomplishment of an operational or mission essential capability and an acceptable work-around solution does not exist.

C1100.3.14.3. <u>Severity Level 3</u>. System problems that adversely influence the accomplishment of an operational or mission essential capability, but an acceptable work-around solution exists.

C1100.3.14.4. <u>Severity Level 4</u>. System problems that result in inconvenience or annoyance for system users, but do not prevent the accomplishment of responsibilities.

C1100.3.15. <u>DCPDS System Change Request</u> (SCR). New system enhancements desired or required by CPMS or a DoD Component resulting from modified business practices or DoD Component regulatory changes. They are reviewed and approved by the DCPDS CCB.

C1100.3.16. <u>DCPDS Systems Innovation Subcommittee</u> (SIS). A DCPDS CCB subcommittee that reviews new products and applications (e.g., commercial-off-the-shelf and government-off-the-shelf software, DoD developed software, and custom applications) to improve the functionality of the DCPDS enterprise system. It is comprised of representatives from CPMS, the DoD Components, and the DFAS Civilian Pay Policy. WHS represents the Defense Agencies, with the exception of the Defense Logistics Agency.

C1100.3.17. <u>Human Resources Management (HRM) Domain</u>. Under the DoD Business Management Modernization Program (BMMP), this is the area of responsibility of the Under Secretary of Defense (Personnel and Readiness) that focuses on the management of HRM systems for Civilian Personnel Management, Military Personnel Management, and Military Health.

C1100.3.18. <u>Non-DoD Customer Agencies</u>. Term used to identify Federal agencies other than the Department of Defense that use DCPDS.

C1100.3.19. <u>Post Implementation Review</u> (PIR). A PIR is conducted annually by an independent contractor to assess the extent to which a developed system (e.g., DCPDS) has achieved the benefits established at the program outset. The DCPDS Component Project Managers receive a copy of the PIR.

C1100.3.20. <u>Resumix®</u>. This application, which interfaces with Oracle HR, automates the merit promotion recruitment and staffing process.

C1100.3.21. <u>Security Test and Evaluation</u> (ST&E). Examination and analysis of the safeguards required to protect an information technology (IT) system, as they have been applied in an operational environment, to find the security posture of that system.

C1100.4. <u>POLICY</u>

It is DoD policy that:

C1100.4.1. The Department of Defense has a single enterprise-wide civilian automated HR information system with a standard configuration for personnel action processing and data retrieval. This system is DCPDS.

C1100.4.1.1. DCPDS consists of the following civilian HR systems, modules, and applications: Oracle HR, Resumix®, COREDOC, CATS, and AutoRIF.

C1100.4.1.2. DoD Components must get CPMS approval to deviate from standard DCPDS IT applications described in subparagraph C1100.4.1.1.

C1100.4.1.2.1. CPMS approval is required to develop, enhance, or buy DoD Component-unique civilian HRM systems, modules, or software applications.

C1100.4.1.2.2. CPMS approval is required to make later changes to approved systems, modules, or applications. The DoD Components shall ensure that subordinate activities do not make changes or enhancements to approved systems, modules, or applications without prior approval.

C1100.4.2. CPMS provides a chair for the CCB and ERB. These Boards review, approve, and prioritize recommended changes to DCPDS.

C1100.4.3. CPMS maintains the DCPDS security program, including Chair of the CSWG, security testing, system patches, and management of the intrusion detection effort. The Director, CPMS, serves as the Designated Approving Authority (DAA) for DCPDS according to reference (f), oversees security certification and accreditation, and approves or disapproves system operations based on the level of security risk identified.

C1100.4.4. The DCPDS technical vendor provides periodic software patches, updates, new releases, and other changes to DCPDS software. These patches fall into five major categories: Weekly Table Updates, Bi-weekly Patches, Quarterly Patches, Federal Releases, and Emergency Patches. These patches are generated through CRTs, SCRs, routine table changes, Oracle Federal HR software patches, security patches, and PR repairs.

C1100.4.5. The DoD Components and non-DoD customer agencies may submit requests for system support services, unique requirements, or other changes related to DCPDS. These requests (i.e., time and materials delivery orders) require a change to the DCPDS sustainment contract and are approved by CPMS, based on desired outcome, cost, and schedule criteria. SCRs must be approved by the DCPDS CCB. Each DoD Component or non-DoD customer agency shall initiate and support its task order.

C1100.5. RESPONSIBILITIES

C1100.5.1. The Under Secretary of Defense for Personnel and Readiness, as the DoD official responsible for the HRM Domain, shall ensure that civilian HR data is maintained and available to authorized users throughout the Department of Defense and shall ensure:

C1100.5.1.1. The Deputy Under Secretary of Defense (Civilian Personnel Policy) (DUSD(CPP)) is responsible for uniform DoD-wide civilian personnel policies, procedures, programs, and guidance in reference (a) and this Manual.

C1100.5.1.2. The Under Secretary of Defense (Acquisition, Technology, and Logistics) (USD(AT&L)) shall serve as the Acquisition Executive for DCPDS.

C1100.5.1.3. The Director, Civilian Personnel Management Service (CPMS) under the USD (P&R), shall:

C1100.5.1.3.1. Provide technical and functional oversight of DCPDS (including technology refresh, system and security updates, and procurement of new technology), and support for standard Defense-wide DCPDS changes authorized by the CCB and ERB.

C1100.5.1.3.2. Administer and chair the DCPDS Executive Committee.

C1100.5.1.3.3. Appoint a CPMS staff member to serve as chair and alternate chair for the CCB and ERB; resolve conflicts between these boards; and direct the DCPDS vendor to administer approved ERB and CCB SCRs.

C1100.5.1.3.4. Serve as DAA for DCPDS according to DoD Directive 8500.1 (reference (g)).

C1100.5.1.3.4.1. Ensure adequate security oversight and protection of DCPDS official information according to DoD 5200.1-R (reference (h)).

C1100.5.1.3.4.2. Ensure that appropriate security risk assessments are done for significant changes to DCPDS, including formal ST&Es according to reference (f).

C1100.5.1.3.4.3. Appoint a CPMS Certification Authority for an independent assessment on ST&Es according to reference (f).

C1100.5.1.3.4.4. Appoint a CPMS staff member to serve as DCPDS Information System Security Manager and chair for the CSWG; ensure policies and requirements are included in the System Security Authorization Agreement; ensure DCPDS software incorporates Defense Information Systems Agency security patches; and manage the intrusion detection effort.

C1100.5.1.3.5. Appoint a program manager to oversee DCPDS contract support.

C1100.5.1.3.6. Conduct periodic PIR efforts to evaluate DCPDS, identify problems, and measure functional program benefits.

C1100.5.2. The Heads of the DoD Components shall:

C1100.5.2.1. Fund approved DoD Component-unique DCPDS requirements.

C1100.5.2.2. Submit PRs for system problems, and CRTs and SCRs for system changes and enhancements.

C1100.5.2.3. Provide representatives for the CCB, ERB, Executive Committee, Project Managers' meetings, and SCR Working Group as dictated by the appropriate group charter or implementing documents.

C1100.5.2.4. Get CPMS approval before developing, enhancing, or buying DoD Component-unique civilian HR systems, modules, or software applications.

C1100.5.2.5. Ensure compliance with DCPDS security and access policies, procedures, and standards for their system users.

C1100.5.2.6. Ensure that persons appointed to positions dealing with DCPDS are provided security education and training on the protection of DCPDS official information.

C1100.5.2.7. Buy and maintain the necessary infrastructure to support the enterprise-wide DCPDS.

C1100.5.2.8. Support testing of DCPDS software releases.

C1100.5.2.9. Fully test third party software releases (i.e., Resumix) prior to implementation.

C1100.6. PROCEDURES

C1100.6.1. Routine, Regulatory, and Policy System Changes. Routine system changes involving normal maintenance repairs and software changes resulting from law, regulation, or DoD policy are processed as PRs or CRTs. These changes do not require CCB review; however, CPMS uses DCPDS tracking tools to get DoD Component coordination and monitor development status.

C1100.6.2. SCR Processing. SCRs are system enhancements. The CPMS, the DoD Components, and non-DoD customer agencies use a DCPDS requirements document-tracking tool to create, coordinate, and track SCRs. Each quarter, the System Change Requests Working Group (SCRWG) and CCB review and prioritize SCRs. The ERB reviews the effect of SCRs on the DCPDS technical configuration. The Director, CPMS, approves and forwards the top-ranked SCRs to the DCPDS vendor for development and implementation in the next quarterly patch release.

C1100.6.3. Software Releases and Updates. The vendor, the CPMS, the DoD Components, and non-DoD customer agencies test all system changes before release. In addition, the vendor provides documentation to CPMS outlining the items and load instructions for each software

release. The CPMS provides this guidance to specific DCPDS users through e-mail. Usually, the vendor applies system changes during non-duty hours.

C1100.6.4. <u>DCPDS Information Assurance</u>. DoD Component CSWG members submit all systems documentation influencing DCPDS security to CPMS for review. Changes to DCPDS are submitted to the CCB or ERB for consideration.

C1100.6.5. Non-standard HR IT

C1100.6.5.1. DoD Components must submit requests to the Director, CPMS, to deviate from standard DCPDS IT applications. Requests should include the application name, functional and technical description, number of activities and HR offices where the application shall be deployed, total serviced population on full deployment, deployment timetable, and a business case analysis.

C1100.6.5.2. The following criteria shall be used to evaluate DoD Component requests for non-standard HR technology:

C1100.6.5.2.1. Functions automated by the application must be within the traditional coverage of HR functions. The request should provide documentation on the business processes to be automated, and any reengineering efforts shown in the proposed automated solution.

C1100.6.5.2.2. The DoD Component shall require that the DoD Component-unique system, module, or application be used exclusively within the DoD Component for the covered HR function, unless the DoD Component headquarters and CPMS approve an exception. System requirements for the DoD functional communities must be coordinated through the DoD Components and the CPMS.

C1100.6.5.2.3. The DoD Component-unique system, module, or application uses standard DCPDS data elements in prescribed ways.

C1100.6.5.2.4. The decision to develop, enhance, or buy a DoD Component-unique system, module, or application must be based on a business case analysis which provides a cost-benefit comparison of the alternatives, to include such factors as development, customization, maintenance, conversion, and implementation costs; potential future upgrade costs; and overhead costs. The selected solution must yield a positive benefit-to-cost comparison.

C1100.6.5.2.5. The computing and telecommunications equipment required for the DoD Component-unique system, module, or application may be readily redirected by the DoD Component for other uses on the availability of a corporate DCPDS module or application.

C1100.6.5.2.6. The proposed DoD Component-unique system, module, or application complies with DoD security requirements and DCPDS security procedures, and does not compromise the DCPDS security posture, according to the DCPDS Systems Security Authorization Agreement.

C1100.6.5.2.7. The DoD Component-unique system, module, or application does not have a negative impact on DCPDS performance or operations.

C1100.6.5.3. The following process shall be used to review the DoD Component requests:

C1100.6.5.3.1. The Director, CPMS, shall provide a written decision with the basis for approval or disapproval to the DoD Component within 60 days of receipt of the written request.

C1100.6.5.3.2. If a determination cannot be made within 60 days, an interim status shall be provided to the DoD Component explaining the reasons for the delay and establishing a tentative determination date.

C1100.7. <u>INFORMATION REQUIREMENTS</u>

DCPDS is exempt from licensing according to paragraph C4.4.2 of DoD 8910.1-M (reference (i)).